



DEPARTMENT OF THE NAVY

CENTER FOR NAVAL AVIATION TECHNICAL TRAINING
230 CHEVALIER FIELD AVENUE SUITE C
PENSACOLA, FLORIDA 32508-5168

CNATTINST 12430.1
N8
21 Jan 04

CNATTINST 12430.1

Subj: DEPARTMENT OF THE NAVY PERFORMANCE APPRAISAL REVIEW SYSTEM
(PARS)

Ref: (a) SECNAVINST 12430.4
(b) DoD 1400.25-M, Subchapter 430, Performance Management

Encl: (1) PARS Process Flowchart
(2) CNATT 12430/1 Form (Non-Supervisory) with Instructions
(3) CNATT 12430/2 Form (Supervisor) with Instructions

1. Purpose. To implement procedures per references (a) and (b) for evaluating performance of CNATT civilian employees under PARS.

2. Cancellation. NAMTRAGRUINST 12430.1E. This is a major revision; changes are not indicated throughout.

3. Responsibilities

a. The Resource Program Manager (N81), under direction of CNATT Executive Director, is responsible for development and issuance of implementing directives and the evaluation of civilian performance management program.

b. CNATT Commanding Officers, Officers-in-Charge, and Chief Petty Officers-in-Charge are responsible for ensuring performance plans are developed following the policy in this instruction.

4. Scope. This instruction applies to employees in the General Schedule (GS) grades GS-1 through GS-14, and all Federal Wage System employees. Each employee's work performance will be evaluated on a continuing basis using objective, job-related performance elements, and standards. The results of appraisals, along with other pertinent information, will be used as a basis for training, rewarding, reassigning, promoting, reducing in grade, removing, or retaining employees, and assisting employees to improve performance.

5. Requirements

a. Appraisal Period. A fixed annual appraisal period is required for rating of record purposes. Enclosure (1) flowcharts this process. The period for CNATT is 1 April to 31 March of each year. To receive a rating of record, an employee must have served a minimum of 90 days at the same grade level. The same applies if the position description received substantial changes that dictate the need for additional training by the employee. If necessary, the employee's rating period will be extended beyond 31 March to ensure the minimum 90-day period.

b. Establishing Performance Plans (Elements and Standards)

(1) Each employee must have an approved, written performance plan based on work assignments and responsibilities. The performance plan will be provided to employees within 30 days after the beginning of each appraisal period, permanent assignment to a new position, and each detail or temporary promotion expected to last 120 days or longer. Performance plans include all critical elements and related performance standards.

(2) Each performance plan must have at least one critical element that addresses a specific job-related responsibility. Enclosures (2) and (3) provide additional critical elements that will be used on the performance plan.

(3) Two summary rating levels must be used for the final performance rating, either Acceptable or Unacceptable. Only Acceptable level performance standards will be established.

(4) The employee's position description and critical elements and performance standards must be reviewed, updated (if necessary), and approved at the beginning of the appraisal period by the first level supervisor. The second level supervisor will also review critical elements and performance standards that receive a significant change. Changes become effective when the employee signs Section I, of enclosure (1), which signifies the performance standards were established.

c. Performance Rating

(1) First level supervisors must rate performance in writing against the established performance standards. A Summary Rating (Section III) of Acceptable or Unacceptable will be assigned. Employees will be assigned an Unacceptable Summary Rating if "Unacceptable" is assigned to any critical element.

(2) A rating of Unacceptable requires review and signature by the second level supervisor.

d. Appraisal Types

(1) Progress Review. Progress reviews do not require a written summary rating. Progress reviews will be conducted as follows:

(a) The first level supervisor will review the employee's performance at least once, normally midway through the appraisal period. At a minimum, employees will be informed of their level of performance by comparison with the critical elements and performance standards established for their position. The first level supervisor and the employee will sign and date the performance appraisal form to indicate the review was conducted. (Note: An employee's signature does not necessarily constitute agreement with the review or performance appraisal; it merely signifies the employee received them.)

(b) If an employee's performance is unacceptable, (has one or more performance elements marked "Unacceptable") any time, during the rating cycle, the supervisor must review critical elements and performance standards, and develop a Written Improvement Plan that would provide the employee the opportunity to improve those performance elements marked "Unacceptable." This plan is to point out an employee's deficiencies and identify steps that will improve the employee's performance within 90 days. Assistance developing a Written Improvement Plan can be obtained through the Labor Employee Relations Division within HRO. At the end of this period, the employee's performance will be evaluated using enclosure (1). Failure to correct "Unacceptable" marks at the conclusion of the opportunity period requires the activity to initiate some type of personnel action that may include; reassignment, reduction-in-grade, or removal per local civilian personnel office directives. Action of this type should only be initiated after the employee was given assistance in improving and an opportunity to demonstrate acceptable performance.

(2) Closeout Ratings. The first level supervisor will write a closeout rating for the following occasions:

(a) Completion of Detailed Assignment - An employee completes a detailed assignment or temporary promotion of 120 days or longer under established performance standards. This requirement also applies to employees on loan from another activity/agency for 120 days.

(b) Internal Reassignment. An employee changes positions after being under established standards a minimum of 90 days.

(c) Transfer. An employee moves to a new agency/activity or organization after being under established standards a minimum of 90 days.

(d) Change of First Level Supervisor. The first level supervisor leaves the position after the employee is under established standards a minimum of 90 days. (In this situation, the employee would continue under the same performance plan with the new supervisor.)

(e) Modification to Position Description. A closeout rating is also required when the position description is updated to the degree that substantive changes to the critical elements and performance standards occurred. Normally, this can be accomplished in conjunction with the annual rating.

(3) Ratings of Record

(a) The closing date for annual performance appraisals, for this command, is 31 March. Annual performance appraisals are due 30 days following the completion of the annual reporting period (30 April) unless the employee has not completed 90 days of observed performance. In this scenario, the annual performance appraisal will be completed within 30 days after 90 days of observed performance.

(b) Ratings will be based on a comparison of performance against written standards.

(c) Each element is initially rated one of the two element rating levels (Acceptable or Unacceptable). Element ratings are then converted to a Summary Rating of either Acceptable or Unacceptable. An employee rated Unacceptable on one or more critical elements may not receive a summary rating of Acceptable.

(d) A written rating of record will be completed within 30 days following the completion of the annual performance cycle unless the employee has not completed 90 days under approved performance standards. When the activity cannot prepare a rating of record at the end of the appraisal period, the period will be extended to allow 90 days under approved standards at which time a rating will be conducted. A summary rating of Unacceptable must be supported by a written performance appraisal, which adequately justifies the recommended rating and a Written Improvement Plan that provided the employee an opportunity to improve.

(e) Discussion of a performance appraisal prior to conducting the rating is encouraged. However, it is not recommended that the supervisor communicate ratings of Unacceptable without prior communication with the second level supervisor.

CNATTINST 12430.1

(f) The performance rating will be signed and dated by the employee and the first level supervisor. The second level supervisor's review and signature is NOT required when summary rating is acceptable.

(g) Forward the original and one copy of the completed rating form to CNATT headquarters, N81, within 30 days of the end of the annual appraisal cycle. Also, provide a copy of the completed rating to the employee.

(h) When the appraisal period cannot be extended so that an employee can perform for a minimum 90-day appraisal period under approved performance standards, the employee will not receive a rating. The performance appraisal and resulting rating may not be lowered because a disabled veteran was absent from work to seek medical treatment.

(i) Employees who receive a rating of record of Unacceptable must receive assistance in the form of formal training, on-the-job training, counseling, close supervision, or other appropriate measures that would reasonably enable them to perform at the Acceptable level. This type of corrective action will be outlined in a Written Improvement Plan.

(j) A special written rating will be completed when the most recent rating of record does not support a within-grade increase. That rating becomes the official rating of record.

6. Grievances and Appeals

a. Contents of the individual performance appraisal are not appealable or grievable.

b. Failure to inform employees of critical elements and standards within the required time frame is not grievable.

c. Ratings on individual elements and summary ratings are grievable.

d. Performance-based demotions and removals may be grieved through the appropriate negotiated grievance procedure or appealed to the Merit Systems Protection Board, but not both.

e. Performance awards are not grievable.

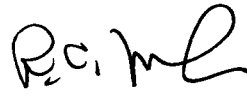
7. Performance Recognition. CNATT will use appraisals of performance as the basis for employees advancing in the pay range, including promotions, within-grade increases, and quality step increases. They also serve as justification for cash performance awards, which

CNATTINST 12430.1

replaced Sustained Superior Performance Awards. Special Act Awards are considered incentive awards, not performance awards, and are covered in reference (b).

8. Effective Date. The policy contained in this instruction is effective 22 January 2004.

9. Action. All supervisors and managers will comply with the provisions of this instruction. Performance standards shall be implemented at all CNATT activities and organizations not later than 19 February 2004.



R. C. MOCK

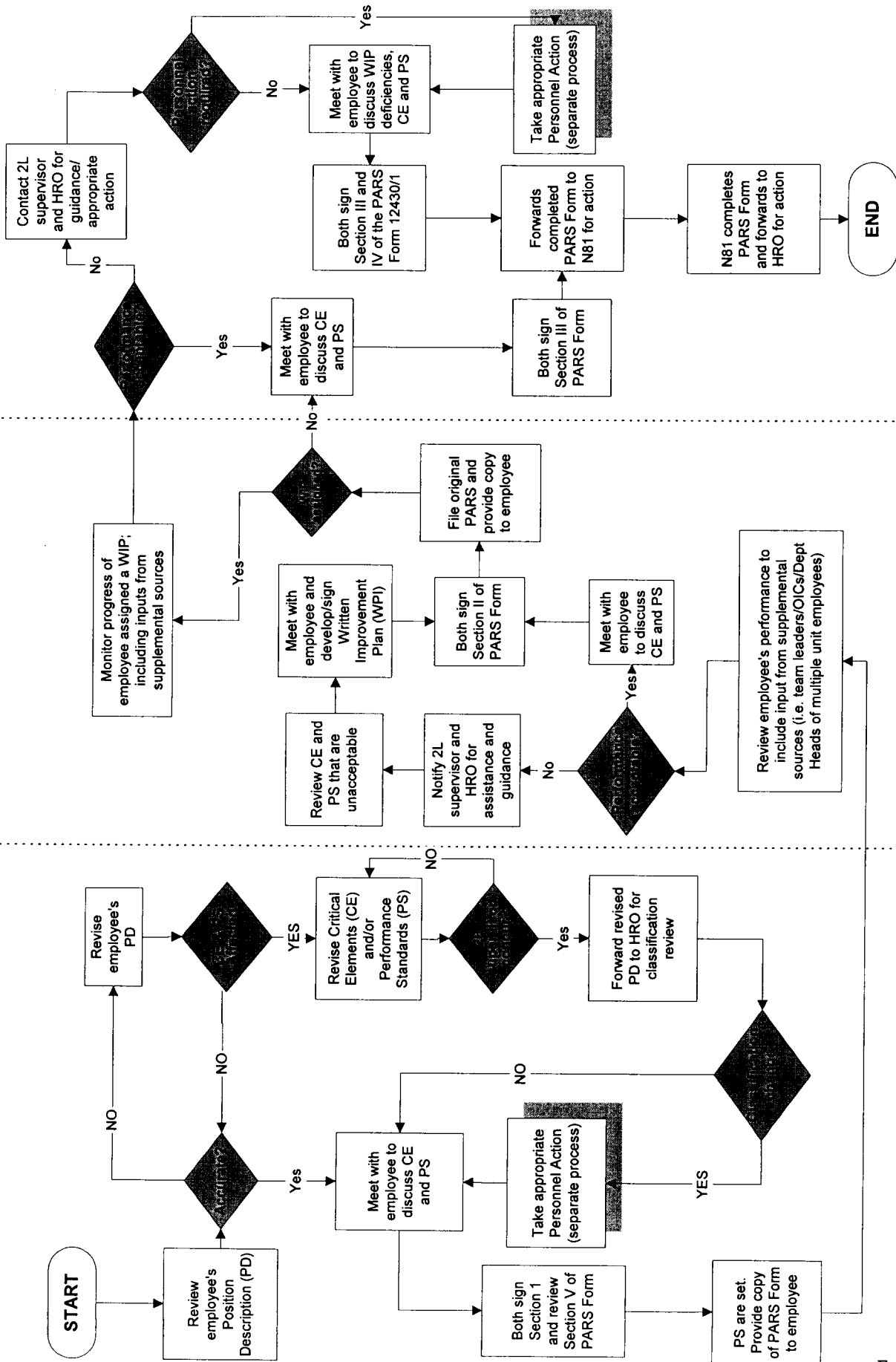
Distribution:
CNATT Units/Detachments/Training Sites

ANNUAL CIVILIAN PERFORMANCE APPRAISAL REVIEW (PARS) PROCESS

SETTING PERFORMANCE STANDARDS
First level (1L) supervisor

PROGRESS REVIEWS
First level supervisor conducts at least once during the appraisal period, normally by September 30

END OF RATING PERIOD
There are numerous occasions which require the First level supervisor to conduct a close-out rating



Performance Review Program (Non-Supervisory)

I. Setting Performance Standards (Completed within 30 days after start of rating period)

1. Name	2. SSN	3. Pay Plan/Series	4. UIC
---------	--------	--------------------	--------

Employee's Position Description Accurate? Yes ☐ No ☐

_____ First Level Supervisor's signature	_____ Date	_____ Employee's signature	_____ Date
---	---------------	-------------------------------	---------------

II. Progress Review (Completed halfway through rating period)

Conducted on: _____
Date

_____ First Level Supervisor's signature	_____ Employee's signature
---	-------------------------------

III. End of Rating Period (Completed within 30 days after end of rating period)

Type of Rating: Close Out ☐ Rating of Record ☐

Period covered: From: Date To: Date

Summary Rating

Acceptable ☐ Unacceptable ☐

_____ First Level Supervisor's signature	_____ Date	_____ Employee's signature	_____ Date
---	---------------	-------------------------------	---------------

Second Level Supervisor's signature (Required *only* if summary rating is *Unacceptable*.)

Second Level Supervisor's signature Date

PRIVACY ACT WARNING:

THIS FORM CONTAINS INFORMATION PROTECTED BY THE PRIVACY ACT OF 1974. ANY INDIVIDUAL WHO WILLINGLY DISCLOSES INFORMATION PROTECTED BY THE PRIVACY ACT IS SUBJECT TO CRIMINAL SANCTIONS AND FINES UP TO \$5,000.

Performance Elements and Standards

Performance elements and standards must be in effect within 30 days after the start of the rating period. To implement these elements and standards, the supervisor must meet face-to-face with the employee to discuss and document the agreed upon work expectations and objectives. The performance elements and standards should be reviewed and related to the employee's assigned work. At the conclusion of this meeting, the supervisor must sign and date Section I on the Performance Review Program form. Section II is to be used to document the mid-cycle review. The performance elements and standards and summary ratings will be documented in Section III.

Performance elements and standards must be in effect a minimum of 90 days before an employee may be rated.

All performance elements are critical. To receive an Acceptable summary rating, the employee must meet the requirements in all of the performance elements and standards. If the employee FAILS one or more performance element or standard, the summary rating will be Unacceptable.

Enter at least one position specific-element and its standards. Then indicate other applicable elements and standards below.

Check if Applicable	Performance Elements	Performance Standards	Rating
<input type="checkbox"/> Yes <input type="checkbox"/> No	Customer Focus	<ul style="list-style-type: none"> - Demonstrates commitment to ensuring customer satisfaction - Assumes responsibility for resolving customer problems and complaints - Sets realistic customer expectations - Follows through to ensure commitments to customers are met - Solicits input and is open to ideas from customers - Develops customer confidence 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Communication	<ul style="list-style-type: none"> - Clearly communicates ideas verbally and in writing - Keeps supervisor, customers, and co-workers informed - Promotes and uses candid and open communication - Provides correct and consistent information - Uses appropriate and efficient channels of communication 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Technical Knowledge	<ul style="list-style-type: none"> - Understands the duties and responsibilities of the job - Has the knowledge, skills and abilities to do the job - Understands the mission and values of the command - Stays current with new developments, changing priorities or requirements - Keeps abreast of critical issues and details 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Quality	<ul style="list-style-type: none"> - Completes work assignment in a timely manner - Demonstrates attention to detail and accuracy - Shows a commitment to quality and excellence - Seeks and makes continuous improvement - Identifies the cause of quality deficiencies - Takes action to resolve problems when quality falls below acceptable level 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Teamwork	<ul style="list-style-type: none"> - Works effectively in groups and helps others to get the job done - Participates in resolving team conflicts - Establishes and maintains cooperative working relationships - Remains flexible and open to new or different ideas - Focuses team efforts on most effective mission oriented strategies 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Safety	<ul style="list-style-type: none"> - Keeps the workplace safe, clean, and free of clutter and hazards - Adheres to organization safety program instructions 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable

Performance Review Program (Supervisor)

I. Setting Performance Standards (Completed within 30 days after start of rating period)

1. Name	2. SSN	3. Pay Plan/Series	4. UIC
---------	--------	--------------------	--------

Employee's Position Description Accurate? Yes ☐ No ☐

First Level Supervisor's signature Date

Employee's signature Date

II. Progress Review (Completed halfway through rating period)

Conducted on: _____
Date

First Level Supervisor's signature

Employee's signature

III. End of Rating Period (Completed within 30 days after end of rating period)

Type of Rating: Close Out ☐ Rating of Record ☐

Period covered: From: Date To: Date

Summary Rating

Acceptable ☐ Unacceptable ☐

First Level Supervisor's signature Date

Employee's signature Date

Second Level Supervisor's signature (Required *only* if summary rating is *Unacceptable*.)

Second Level Supervisor's signature Date

PRIVACY ACT WARNING: THIS FORM CONTAINS INFORMATION PROTECTED BY THE PRIVACY ACT OF 1974. ANY INDIVIDUAL WHO WILLINGLY DISCLOSES INFORMATION PROTECTED BY THE PRIVACY ACT IS SUBJECT TO CRIMINAL SANCTIONS AND FINES UP TO \$5,000.

Performance Review Program

Supervisory Performance Elements and Standards

Performance elements and standards must be in effect within 30 days after the start of the rating period. To implement these elements and standards, the supervisor must meet face-to-face with the employee to discuss and document the agreed upon work expectations and objectives. The performance elements and standards should be reviewed and related to the employee's assigned work. At the conclusion of this meeting, the supervisor must sign and date Section I on the Performance Review Program form. Section II is to be used to document the mid-cycle review. The performance elements and standards and summary ratings will be documented in Section III.

Performance elements and standards must be in effect a minimum of 90 days before an employee may be rated.

All performance elements are critical. To receive an Acceptable summary rating, the employee must meet the requirements in all of the performance elements and standards. If the employee FAILS one or more performance element or standard, the summary rating will be Unacceptable.

Enter at least one position specific-element and its standards. Then indicate other applicable elements and standards below.

Check if Applicable	Performance Elements	Performance Standards	Rating
<input type="checkbox"/> Yes <input type="checkbox"/> No	Technical Competence	<ul style="list-style-type: none"> - Sets realistic goals and milestones - Exhibits the knowledge, skills and abilities required to obtain desired results - Effectively and efficiently secures, allocates, and manages mission resources - Develops efficient procedures and systems - Coordinates and monitors assignments and projects throughout the organization - Establishes priorities that reflect mission and organizational needs 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	People Management	<ul style="list-style-type: none"> - Establishes a customer focused environment and ensures customer satisfaction - Encourages and motivates employees - Defines vision and communicates goals - Communicates roles and responsibilities, and delegates work fairly and efficiently - Maintains an enjoyable, positive and challenging work environment - Recognizes and rewards individual and team contributions in a timely manner 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Performance Management	<ul style="list-style-type: none"> - Takes action to quickly resolve performance issues - Communicates clear and consistent performance expectations - Develops employees through mentoring, coaching, and training - Documents performance problems and handles them with authority and tact 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Leadership	<ul style="list-style-type: none"> - Acts as a persuasive leader who gets results - Demonstrates fair and impartial leadership - Sets and achieves high standards with a team - Develops a shared sense of purpose with focus and direction - Implements key organization policies 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Accountability	<ul style="list-style-type: none"> - Plans for, develops and establishes realistic budgets - Tracks and adjusts expenditures to remain within approved budget - Makes appropriate changes to meet mission essential fiscal requirements - Consistently communicates budget and/or resource changes and priorities - Schedules and approves hours of work and leave requests - Verifies accuracy of time and attendance records 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Hiring Practices	<ul style="list-style-type: none"> - Defines position and required applicant knowledge, skills and abilities - Selects and retains high quality people by creating a positive and challenging work environment - Prepares for and conducts thorough interview - Makes sound hiring decisions based on candidate experience - Develops teams with diverse skills and strengths 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable

Performance Review Program

Supervisory Performance Elements and Standards – cont'd

Check if Applicable	Performance Elements	Performance Standards	Rating
<input type="checkbox"/> Yes <input type="checkbox"/> No	EEO	<ul style="list-style-type: none"> - Sets the example and encourages participation in EEO Special Emphasis events - Takes action to stop discriminatory behavior and sexual harassment among employees - Cooperates in resolving discrimination complaints - Supports EEO program goals, objectives and provides on-going training to employees - Attends mandatory EEO training and ensures employee participation 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable